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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/025,770

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22428 7590 05/23/2007  
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EXAMINER

VAN BRAMER, JOHN W

ART UNIT

PAPER NUMBER

3622

MAIL DATE

DELIVERY MODE

05/23/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<p align="center"><b>Office Action Summary</b></p>	<p><b>Application No.</b></p> <p align="center">10/025,770</p>	<p><b>Applicant(s)</b></p> <p align="center">OSHIBA ET AL.</p>	
	<p><b>Examiner</b></p> <p align="center">John Van Bramer</p>	<p><b>Art Unit</b></p> <p align="center">3622</p>	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 05 March 2007.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-5, 8-16, 19-27, 30-34 and 36-40 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-5, 8-16, 19-27, 30-34 and 36-40 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                     | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

## **DETAILED ACTION**

### ***Response to Amendment***

1. The amendment filed March 5, 2007 has cancelled claims 6, 7, 17, 18, 28, 29 and 35. Claims 1, 12, 23, 34, and 38-40 were amended and no new claims were added. Thus the currently pending claims in the application are 1-5, 8-16, 19-27, 30-34, and 36-40.

### ***Claim Rejections - 35 USC § 112***

2. The amendment filed March 5, 2007 has corrected the first paragraph of 35 U.S.C. 112 deficiencies identified in the Office Action dated December 8, 2006. Therefore, the examiner hereby withdraws the rejection.

### ***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

4. Claims 1-5, 10-16, 21-27, 32-34, and 37-40 rejected under 35 U.S.C. 102(b) as being anticipated by Roth et al. (WO 98/34189).

Claims 1, 12 and 23: Roth discloses an advertisement opportunity trading system, method and a market control server that enables communication between a terminal of a sponsor of an advertisement and a terminal of media which distributes an advertisement via a communication network, in or to intermediate between the sponsor and the media for facilitating a trade for an advertisement opportunity offered by the media, said system and server comprising:

- a. An advertisement data reception unit which receives advertisement data from a sponsor who wants the advertisement data to be distributed on an advertisement opportunity, the advertisement data including genre data describing a genre of the advertisement. (Page 6, line 17 through Page 7, line 15; Page 8, lines 1-11; Page 19, line 27 through Page 20, line 26; and Fig. 5B, 517) (The Merriam-Webster dictionary defines "genre" as a "kind, or sort" in relation to a particular style, form or content. In the section cited Roth discloses the ability of a site to define the type of advertising content that it is willing to accept, such as java, gif, or file size. Additionally, Roth discloses that ad selection may be based upon CT (Content type) which would also be considered genre data of the advertisement)
- b. An advertisement opportunity reception unit which receives an advertisement opportunity offered by media that includes prohibited genre data designating a genre of advertisement that will not be permitted for the advertisement opportunity. (Page 8, lines 1-11; and Page 19, line 27 through Page 20, line 26)

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- c. An advertisement data check unit that checks whether the genre data of the advertisement data corresponds to the prohibited genre data of the advertisement opportunity and notifies a result of said checking to the media. (Page 8, lines 1-11; and Page 19, line 27 through Page 20, line 26)
- d. A distribution accepting unit which accepts an application for distribution of the advertisement data from the sponsor only after receiving information from the media representing that distribution of the advertisement data is appropriate for the advertisement opportunity. (Page 6, line 17 through Page 7, line 15; Page 20 line 16; and Page 22, lines 1-9)
- e. A trade process unit which performs a process for trading the advertisement opportunity based on the application accepted by said distribution accepting unit. (Page 6, line 17 through Page 7, line 15)

Claims 2, 13, and 24: Roth discloses the advertisement opportunity trading system, method and market control server according to claims 1, 12 and 23 respectively, wherein in a case where said distribution accepting unit accepts applications for distribution of advertisement data from a plurality of sponsors for a same advertisement opportunity, said trade process unit puts up the advertisement opportunity for auction. (Page 6, line 17 through Page 7, line 15)

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Claims 3, 14 and 25: Roth discloses the advertisement opportunity trading system, method and market control server according to claims 1, 12, and 25 respectively, further comprising:

- a. An advertisement data registration unit which registers the advertisement data received by said advertisement data reception unit. (Page 6, line 17 through Page 7, line 15)
- b. An advertisement opportunity registration unit which registers the advertisement opportunity received by said advertisement opportunity reception unit. (Page 6, line 17 through Page 7, line 15)
- c. An advertisement opportunity publicizing unit which publicizes information on the advertisement opportunity registered in said advertisement opportunity registration unit via said communication network, wherein said distribution accepting unit accepts an application for distribution of the advertisement data registered in said advertisement data registration unit from the sponsor. (Page 6, line 17 through Page 7, line 15)

Claims 4, 15, and 26: Roth discloses the advertisement opportunity trading system, method and market control server according to claims 3, 14, and 25 respectively, wherein:

- a. A plurality of advertisement data can be registered by a sponsor in said advertisement data registration unit for one advertisement opportunity.  
(Page 23, line 8 through Page 24, line 1)

- b. In a case where the media determines that the plurality of advertisement data of the sponsor are appropriate for distribution on the one advertisement opportunity, said distribution accepting unit accepts an application for distribution of one advertisement data designated by the sponsor from the plurality of advertisement data, as one to be actually distributed. (Page 23, line 8 through Page 24, line 1)

Claims 5, 16, and 27: Roth discloses the advertisement opportunity trading system, method and a market control server according to claims 4, 15, and 26 respectively, wherein said advertisement data reception unit changes the advertisement data designated by the sponsor as one to be actually distributed with another advertisement data among the plurality of advertisement data in accordance with an instruction from the sponsor. (Page 26, line 6 through Page 27, line 2)

Claims 10, 11, 21, 22, 32, and 33: Roth discloses the advertisement trading system, method and market control server according to claims 1, 3, 12, 14, 23 and 25 respectively, further comprising an advertisement data mirroring unit which transmits advertisement data which is determined as appropriate for distribution by the media to an advertisement distribution controller which performs distribution of advertisement data, wherein:

- a. Said advertisement data mirroring unit transmits the advertisement data to said advertisement distribution controller before a trade for an advertisement

opportunity is started by said trade process unit. (Page 23, line 8 through Page 24, line 1)

- b. Said advertisement distribution controller stores the transmitted advertisement data, and performs distribution of the stored advertisement data which is to be distributed on an advertisement opportunity, in a case where a contract for the advertisement opportunity is settled. (Page 23, line 8 through Page 24, line 1)

Claim 34: Roth discloses a computer-readable recording medium which stores a program for controlling a computer to function as:

- a. Advertisement data receiving means for receiving advertisement data from a sponsor who wants the advertisement data to be distributed on an advertisement opportunity, the advertisement data including genre data describing a genre of the advertisement. (Page 6, line 17 through Page 7, line 15; Page 8, lines 1-11; Page 19, line 27 through Page 20, line 26; and Fig. 5B, 517) (The Merriam-Webster dictionary defines "genre" as a "kind, or sort" in relation to a particular style, form or content. In the section cited Roth discloses the ability of a site to define the type of advertising content that it is willing to accept, such as java, gif, or file size. Additionally, Roth discloses that ad selection may be based upon CT (Content type) which would also be considered genre data of the advertisement)
- b. Advertisement data registering means for registering the advertisement data received by said advertisement data receiving means. (Page 6, line 17 through Page 7, line 15)



- c. Advertisement opportunity receiving means for receiving an advertisement opportunity offered by media, the advertisement opportunity including prohibited genre data designating a genre of advertisement that will not be permitted for the advertisement opportunity. (Page 8, lines 1-11; and Page 19, line 27 through Page 20, line 26)
- d. Advertisement opportunity registering means for registering the advertisement opportunity received by said advertisement opportunity receiving means. (Page 6, line 17 through Page 7, line 15)
- e. Advertisement opportunity publicizing means for publicizing information on the advertisement opportunity registered by said advertisement opportunity registering means via said communication network. (Page 6, line 17 through Page 7, line 15)
- f. Advertisement data check means that checks whether the genre data of the advertisement data corresponds to the prohibited genre data of the advertisement opportunity and notifies a result of said checking to the media. (Page 8, lines 1-11; and Page 19, line 27 through Page 20, line 26)
- g. Distribution accepting means for accepting an application for distribution of the advertisement data from the sponsor only after receiving information from the media representing that distribution of the advertisement data is appropriate for the advertisement opportunity. (Page 6, line 17 through Page 7, line 15; Page 20, line 16, and Page 22, lines 1-9)

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- h. A trade processing means for performing a process for trading the advertisement opportunity based on the application accepted by said distribution accepting means. (Page 6, line 17 through Page 7, line 15)

Claim 37: Roth discloses the computer-readable recording medium according to claim 34, storing a program for controlling a computer to further function as:

- a. Advertisement data mirroring means for transmitting advertisement data which is determined as appropriate for distribution by the media to advertisement distribution controlling means for performing distribution of advertisement data before a trade for an advertisement opportunity is started by said trade processing means. (Page 23, line 8 through Page 24, line 1)
- b. Advertisement distribution controlling means for storing the transmitted advertisement data and performing distribution of the stored advertisement data which is to be distributed on an advertisement opportunity, in a case where a contract for the advertisement opportunity is settled. (Page 23, line 8 through Page 24, line 1)

Claims 38, 39 and 40: Roth discloses an advertisement trading and distribution control apparatus, method and computer-readable medium which provides information and an advertisement data to a terminal of an audience, said apparatus, method, and computer readable medium comprising:

- a. A trade process unit for performing a trading of an advertisement opportunity offered by a media in connection with advertisement data from a sponsor, said advertisement data to be distributed on the advertisement opportunity to the terminal of the audience, the advertisement data including genre data describing a genre of the advertisement. (Page 6, line 17 through Page 7, line 15; Page 8, lines 1-11; Page 19, line 27 through Page 20, line 26; and Fig. 5B, 517) (The Merriam-Webster dictionary defines "genre" as a "kind, or sort" in relation to a particular style, form or content. In the section cited Roth discloses the ability of a site to define the type of advertising content that it is willing to accept, such as java, gif, or file size. Additionally, Roth discloses that ad selection may be based upon CT (Content type) which would also be considered genre data of the advertisement)
- b. Advertisement data check means that checks whether the genre data of the advertisement data corresponds to prohibited genre data of an advertisement opportunity and notifying to a media that offers the advertisement opportunity said result of checking. (Page 8, lines 1-11; and Page 19, line 27 through Page 20, line 26)
- c. Distributing means for distributing the advertisement data to said terminal of an audience from a market control server which intermediated between the sponsor of the advertisement data and the media only after receiving information from the media representing that distribution of the advertisement

is appropriate for the advertisement opportunity. (Page 6, line 17 through Page 7, line 15; Page 20, line 16; and Page 22, lines 1-9)

- d. Storing means for receiving advertisement data to be provided to the terminal of the audience from said market control server, and storing the received advertisement data, wherein said distributing means starts distributing the advertisement data stored in said storing means to said terminal of an audience from a time set for the advertisement opportunity. (Page 6, line 17 through Page 7, line 15)

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 8, 9, 19, 20, 30, 31, and 36 are rejected under 35 U.S.C. 103(a) as being unpatentable over Roth et al. (WO 98/34189).

Claims 8, 9, 19, 20, 30, 31, and 36: Roth discloses the advertisement opportunity trading system according to claims 1, 3, 12, 14, 23, 25, and 34 respectively. In the teachings of Roth, an advertiser creates form objects when bids are proposed. The fields in these form objects contain limitations and restrictions the advertiser specifies regarding ad placement (Page 27, line 4 through Page 28, line 6). While

Roth does not explicitly disclose that these form objects are used to perform a competition check, so that advertisements from the same business category are not displayed simultaneously, Official Notice is taken that it is old and well known that advertisers place restrictions upon media outlets regarding the placement of competitive advertisements. If Ford were to purchase advertising space on a web page, they would not want an adjacent advertisement from a competitor such as General Motors to be displayed on the web page at the same time. Displaying competitive advertisements in this manner erodes the effectiveness of both companies advertising campaigns. Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate criteria allowing such restrictions. One would have been motivated to accommodate advertiser restrictions in order to generate wide scale acceptance and use of the automated bidding system and to help advertiser's maximize the effectiveness of their advertising budgets.

### ***Response to Arguments***

7. Applicant's arguments filed March 5, 2007 have been fully considered but they are not persuasive. The applicant argues that in Roth, a bidding agent determines whether there is a match between the content type specified for a view-op and the content type of the ad that it wants to place whereas the present claims require that the sponsor of an ad simply sends genre information along with the ad, and the system not the sponsor, determines whether the genre of the ad is a

prohibited genre for the advertisement opportunity, and provides that information to the media, which then must tell the system that the advertisement data is appropriate before the application for the advertisement opportunity is processed. However, Roth discloses on Page 12, line 19 through Page 13, line 2 that "The web server 310, view server 320, bidding agents 30 and bid input server 18 can all be implemented by computer programs that are all resident in and executed by one single physical computer. Alternatively, each of the components may be implemented in separate physical computers connected by a conventional inter-computer network. The decision concerning implementation is a single computer or in a group of interconnected computers depends upon the cost, capacity and speed of the available computers. With respect to the explanation of the operation of the present invention, it is not relevant as to whether or not the various components are implemented in a single computer or in a network of interconnected computers.

### **Conclusion**

8. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action

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is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to John Van Bramer whose telephone number is (571) 272-8198. The examiner can normally be reached on 6am - 4pm Monday through Thursday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Eric Stamber can be reached on (571) 272-6724. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
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